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## IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF

AGNES BIDARD ET AL : ATTN: APPLICATION DIVISION

SERIAL NO: NEW U.S. PCT APPLICATION

(Based on PCT/FR99/03036)

FILED: HEREWITH:

FOR: ENCAPSULATED SURFACE

ACOUSTIC WAVE COMPONENT AND METHOD OF COLLECTIVE

**FABRICATION** 

## PRELIMINARY AMENDMENT

ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231

SIR:

Prior to a first examination on the merits, please amend the above-identified application as follows:

#### IN THE SPECIFICATION

Page 1, before line 1, insert -- TITLE OF THE INVENTION--;

between lines 2-3, insert the following:

#### --BACKGROUND OF THE INVENTION

Field of the Invention--;

between lines 11-12, insert -- Discussion of the Background -- .

Page 2, before line 1, insert the following:

--SUMMARY OF THE INVENTION--.

Page 3, between lines 17-18, insert the following:

#### --BRIEF DESCRIPTION OF THE DRAWINGS--;

between lines 26-27, insert the following:

#### -- DESCRIPTION OF THE PREFERRED EMBODIMENTS--.

## IN THE CLAIMS

Please amend the claims as follows:

Claim 3, lines 1-2, replace "one of the claims 1 or 2" with --claim 1--.

Claim 4, lines 1-2, replace "one of the claims 1 to 3" with --claim 1--.

Claim 5, lines 1-2, replace "one of the claims 1 to 4" with --claim 1--.

Claim 6, lines 1-2, replace "one of the claims 1 to 5" with --claim 1--.

Claim 7, line 2, replace "one of the claims 1 to 6" with --claim 1--.

Claim 10, line 2, replace "one of the claims 7 to 9" with --claim 7--.

Claim 11, line 2, replace "one of the claims 7 to 10" with --claim 7--.

#### **IN THE ABSTRACT**

Please delete the Abstract page 10 in its entirety and insert therefor:

# -- ABSTRACT OF THE DISCLOSURE

An encapsulated surface acoustic wave component and a method for the batch production of such a component. The component includes a surface acoustic wave device on the surface of a substrate. The encapsulation package furthermore includes the substrate, a first layer located on the substrate and hollowed out locally at least at the level of the active surface of the surface acoustic wave device, a printed circuit covering an entire first layer, and

conductive via holes going through the unit formed by the first layer and the printed circuit so as to provide for the electrical connection of the surface acoustic wave device from the exterior.--

#### **REMARKS**

Favorable consideration of this application, as presently amended, is respectfully requested.

The present Preliminary Amendment is submitted to place the above-identified application in more proper format under United States practice. By the present Preliminary Amendment the specification has been amended to include suggested headings. The claims have been amended to no longer recite any multiple dependencies. A new abstract believed to be in more proper format under United States practice is also submitted herein.

The present application is believed to be in condition for a full and thorough examination on the merits. An early and favorable consideration of the present application is hereby respectfully requested.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND, MAIER & NEUSTADT, P.C.

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526 Rec'd PCT/PTO 08 AUG 2000

# ENCAPSULATED SURFACE ACOUSTIC WAVE COMPONENT AND METHOD OF COLLECTIVE FABRICATION

The field of the invention is that of surface acoustic wave devices especially that of the filters known as SAW (surface acoustic wave) filters that are used for the highly selective filtering of frequency bands. These components are designed for portable equipment such as radiotelephones, and it is essential to miniaturize them and their protective packaging.

Furthermore, since acoustic waves propagate in the vicinity of the surface of the piezoelectric substrate, this surface must be left vacant so as not to disturb the propagation of the waves. This is an additional constraint with regard to encapsulation packages.

The present encapsulation technologies for surface acoustic wave filters are based on a package formed by two parts as shown in Figure 1: a ceramic or organic base 01 and a ceramic, metallic or organic lid 02 whose closure by soldering or bonding provides for the hermetic sealing of the component while making the necessary cavity. In this type of package, the surface acoustic wave devices (or SAW devices) 03 can be assembled by being bonded to the base. The electrical connections between the internal contacts 011, 012 of the SAW device and the external contacts 071 and 072 are provided by metallized via holes through the base 01.

Figure 1 illustrates an example of the prior art in which the electrical connections of the SAW device with the exterior are wire-type connections. For greater compactness, the technology used at present is the flip-chip technology (in which the component is flipped over). Figure 2 shows an example of a prior art encapsulated SAW device which is a variant of Figure 1.

In order to meet the requirements of large-scale consumer markets (in radiotelephony, automobiles, etc.), the new encapsulation technologies must make the filters increasingly small while at the same time reducing their manufacturing costs. As in the case of other components, the trend is towards the ever greater compactness of the packages in order to obtain a component/package assembly whose surface area is equal to that of the chip by itself.

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The present invention meets these requirements by proposing a surface acoustic wave device in a tightly sealed cavity that has a micro-lid on the piezoelectric substrate alone, without increasing its surface area.

More specifically, an object of the invention is a surface acoustic wave component comprising at least one surface acoustic wave device encapsulated in a package, said device being made on the surface of a piezoelectric substrate by means of interdigitated electrodes powered by first conductive contacts internal to the surface of the substrate, characterized in that the package comprises, in addition to the substrate:

- a first layer located on the substrate and hollowed out locally at least at the level of the active surface of the surface acoustic wave device;
- a printed circuit covering the entire first layer, said printed circuit comprising second external conductive contacts;
- conductive via holes going through the unit formed by the first layer/printed circuit and connecting the first internal conductive contacts to the second external conductive contacts.

Advantageously, the first layer is made of resin and the via holes made in the first layer are used to make electrical connections between the surface acoustic wave devices and the micro-lid constituted by the printed circuit so as to provide for component transfer zones.

Furthermore, advantageously, the constituent resin of the first layer may locally replace the sound absorbent deposit.

The height of the module is reduced to the thickness of the printed circuit which typically may be in the range of 25 to 100 microns, the thickness of the first layer which is typically in the range of some tens of microns and the thickness of the piezoelectric substrate (some hundreds of microns).

An object of the invention is also a method for the collective fabrication of components comprising the making of surface acoustic wave devices on a piezoelectric substrate and comprising the following steps:

- the making of a first hollowed layer on all the surface acoustic wave devices:
  - the bonding of a printed circuit to said first layer;
- the making of via holes in the printed circuit and the first layer at the level of the first internal conductive contacts of the surface acoustic wave devices;

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- the metallizing of the via holes and the defining of second external conductive contacts, said second contacts being connected to said first contacts by the metallized via holes;

- the cutting out of the unit formed by the substrate, the first layer and the printed circuit so as to separate the surface acoustic wave components.

The hollowed layer can be obtained by the preliminary deposition of a uniform layer followed by etching, or else by the lamination of a previously hollowed layer or else again by silk-screen printing.

Advantageously, the first layer may have acoustic absorbent properties.

In the manufacture of surface acoustic wave devices, the method of the invention has the advantage of being a method of collective fabrication on a piezoelectric substrate. This leads to a major reduction in cost. Furthermore, a batch production method of this kind is compatible with the technologies commonly used for semiconductors (the use of masking resin, and the photolitography method).

The invention will understood more clearly and other advantages will appear from the following description, given as a non-restrictive example, and from the appended drawings, of which:

- Figures 1 and 2 illustrate surface acoustic wave devices encapsulated according to prior art techniques;
- Figure 3 illustrates an encapsulated SAW device module;
- Figures 4a-4g illustrate the main steps of the method of collective fabrication of encapsulated SAW devices according to the invention.

In general, the surface acoustic wave device may be a transducer, a resonator comprising at least one array and a transducer. In any case, it is obtained by the deposition of electrodes on the surface of a piezoelectric substrate. To enable the propagation of surface acoustic waves, it is then sought to create an unoccupied cavity above the electrodes corresponding to the active surface of the component. While it is highly compact, the component of the invention is used to preserve the cavity in an unoccupied state as can be seen in Figure 3. The piezoelectric substrate 13 has electrodes on the surface which are not shown. These electrodes are at the

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level of the surface known as the active surface 14. The active surface is insulated from the exterior by the first layer 11 which lies on the piezoelectric substrate. A printed circuit 12 provides for tight sealing on the upper face. In the drawing shown herein, a transducer with two internal electrical power supply contacts 111 and 112 may be connected from the exterior by means of external upper contacts 171 and 172 and conductive via holes going through the printed circuit as well as the first layer. In the case of a more complex component that has to be powered by more than two sources, the number of via holes and contacts may be adjusted appropriately. The active surface acoustic wave component 14 may be considered to be encapsulated in a package defined by all the following elements: the piezoelectric substrate, the first layer 11 and the printed circuit 12.

A more detailed description is given here below of the steps of an exemplary method of collective fabrication used to obtain the components of the invention.

#### The printed circuit

A copper-coated laminated type of printed circuit, impregnated with polyimide resin or with epoxy based on unwoven alamode fibers may be used. The metallized face is used for the subsequent definition of the via holes. The nature of the printed circuit, namely the organic fibers, enables the material thus reinforced to combine high dimensional stability and a low coefficient of thermal expansion in the plane with low permittivity and low surface roughness. Finally, the aramide fibers are compatible with the drilling and metallizing of small-sized holes.

Preferably, the printed circuit, on the face opposite to the metallized surface, has a second layer of insulating adhesive material that may be pre-bonded. Figure 4a illustrates the three constituent layers of the printed circuit used in the invention, the metal layer 120, the printed circuit 12 and the adhesive layer 121.

# Making of the cavities above the active surfaces of the SAW devices

A photosensitive epoxy resin type of constituent resin of the first layer 11 is deposited by spin coating on the piezoelectric substrate. After an annealing operation, the resin is photoimaged and then undergoes a second annealing operation. After development, the substrate and then the resin are put into a stove. Figure 4b illustrates the piezoelectric substrate 13

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comprising SAW devices whose active surfaces 14 are cleared of resin 11. The resin remains, especially on the internal conductive contacts of the SAW devices 111 and 112. For easy representation, only two SAW devices are shown but the piezoelectric substrate has an entire set of them.

# Bonding of the printed circuit to the layer 11

More specifically, this is a step for pressing the circuit shown schematically in Figure 4a to the substrate which locally comprises the resin and is shown schematically in Figure 4b. The two elements are pressed under heat for example in an autoclave. Typically, the heat cycle is adapted so as to relieve the stresses of the materials that are present and prevent heat shocks.

## Making the connection system

## Etching of the conductive layer 120 to make the via holes

After a surface preparation (namely the degreasing and microetching) of the layer, which is typically made of copper, to increase the surface roughness of the copper and hence its adhesion, a photosensitive resin is deposited by spin coating on the copper-coated layer 120. The resin is insolated vertically with respect to the via holes with a photo-insolator. The insolation time is a function of the resin thickness. The copper that is not protected by the resin is dissolved for example in an ammonia solution. The resin is then removed for example with acetone and alcohol. A mask is thus defined in the layer 120 (Figure 4c).

Ablation of the assembly formed by the printed circuit, adhesive layer and resin through the copper mask

The making of via holes through the assembly can be done for example by excimer or CO<sub>2</sub> laser and then terminated for example by RIE (reactive ionic etching) with oxygen plasma. The via holes are shown in Figure 4d.

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# Metallization of the surface of the substrate and the vias

After the ablation of the vias, the copper mask may be etched if necessary. Then the circuit is then metallized by sputtering for example. A layer of chromium and then copper 122 for example, with a thickness of some microns, is deposited uniformly throughout the surface of the printed circuit and inside the holes. The cycle performed in the stand uses sputtering and may typically be as follows:

- an argon plasma operation to mechanically etch the fine layer of native aluminum oxide if need be;
- a sputtering of chromium: the chromium layer plays the role of a barrier layer;
  - a sputtering of copper.

It is then possible to carry out an electrolytic copper recharging to increase the thickness of the metallization to a few tens of microns and thus increase the thermomechanical stability of the via holes (Figure 4e).

# The making of the external conductive contacts

A photosensitive resin is deposited on the entire conductive surface (substrate + via holes). The resin is insolated vertically with respect to the external contacts with a photoinsolator so as to leave resin on the external conductive contacts, also known as "pads", around the via holes and resin fitting itself to the shape of the walls of the via holes (in the case of a positive resin).

The copper not protected by resin is chemically etched. The resin is then removed for example with acetone and alcohol.

Thus, all the encapsulated components are obtained as a batch with external connection contacts as shown in Figure 4f.

# Cutting out of individual components

Then, the components are cut out mechanically. It is possible to deposit a third layer 18 providing hermetic sealing of the assembly with the

appropriate dielectric properties as illustrated in Figure 4g. This layer may be obtained by metal sputtering, a deposition of a thin layer of conductive or dielectric material, the deposition of a varnish or by resin casting or again by vapor phase deposition of a parylene type polymer. The value of these methods lies in the fact that both the lower face of the substrate and the flanks of the previously made component may thus be covered.

This protection may serve as a mechanical protection, a base for markings, an electromagnetic shielding and/or a hermetically sealed type of protection against the environment.

#### CLAIMS:

- 1. A surface acoustic wave component comprising at least one surface acoustic wave device encapsulated in a package, said device being made on the surface of a piezoelectric substrate by means of interdigitated electrodes powered by first conductive contacts internal to the surface of the substrate, characterized in that the package comprises, in addition to the substrate:
- a first layer located on the substrate and hollowed out locally at least at the level of the active surface of the surface acoustic wave device;
- a printed circuit covering the entire first layer, said printed circuit comprising second external conductive contacts;
- conductive via holes going through the unit formed by the first layer/printed circuit and connecting the first internal conductive contacts to the second external conductive contacts.
- 2. Surface acoustic wave component according to claim 1, characterized in that the first layer is made of photosensitive resin.
- 3. Surface acoustic wave component according to one of the claims 1 or 2, characterized in that the package has a second layer, called an adhesive layer, located between the first layer and the printed circuit.
- 4. Surface acoustic wave component according to one of the claims 1 to 3, characterized in that the external face of the substrate and the side faces of the component are covered with a third layer that is hermetic.
- 5. Surface acoustic wave component according to one of the claims 1 to 4, characterized in that the printed circuit is metallized on the surface.
- 6. Surface acoustic wave component according to one of the claims 1 to 5, characterized in that the first layer has acoustic absorbent properties.
- 7. Method for the collective fabrication of surface acoustic wave components according to one of the claims 1 to 6, comprising the making of surface acoustic wave devices on a piezoelectric substrate and comprising the following steps:
- the making of a first hollowed layer on all the surface acoustic wave devices:
  - the bonding of a printed circuit to said first layer;

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- the making of via holes in the printed circuit and the first layer at the level of the first internal conductive contacts of the surface acoustic wave devices:
- the metallizing of the via holes and the defining of second external conductive contacts, said second contacts being connected to said first contacts by the metallized via holes;
- the cutting out of the assembly formed by the substrate, the first layer and the printed circuit so as to separate the surface acoustic wave components.
- 8. Method for the collective fabrication of components according to claim 7, characterized in that the making of the first hollowed layer is obtained by the preliminary deposition of a uniform layer, followed by the etching of said layer.
- 9. Method for the collective fabrication of components, according to claim 7, characterized in that the making of the first layer is obtained by the lamination of a previously hollowed out layer.
- 10. Method for the collective fabrication of modules of components according to one of the claims 7 to 9, characterized in that the bonding of the printed circuit to the first layer comprises:
  - the deposition of a second layer, known as an adhesive layer, on the printed circuit;
  - the hot pressing of the printed circuit/second layer on the entire unit formed by the first layer and the piezoelectric substrate.
- 11. Method for the collective fabrication of components according to one of the claims 7 to 10, characterized in that it comprises the making of a third layer, called a coating layer, on the lower face of the substrate and on the side faces of the component.
- 12. Method of collective fabrication according to claim 11, characterized in that the third layer is made by sputtering.
- 13. Method of collective fabrication according to claim 11, characterized in that the third layer is made by the vapor phase deposition of a parylene type polymer.
- 14. Method of collective fabrication according to claim 11, characterized in that the third layer is obtained by the deposition of a varnish.

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# ABSTRACT ENCAPSULATED SURFACE ACOUSTIC WAVE COMPONENT AND

# METHOD OF COLLECTIVE FABRICATION

The invention relates to a new type of encapsulated surface acoustic wave component and to a method for the batch production of such components.

The component comprises a surface acoustic wave device on the surface of a substrate. The encapsulation package furthermore comprises the substrate, a first layer located on the substrate and hollowed out locally at least at the level of the active surface of the surface acoustic wave device, a printed circuit covering entire first layer and conductive via holes going through the unit formed by the first layer and the printed circuit so as to provide for the electrical connection of the surface acoustic wave device from the exterior.

Figure 3

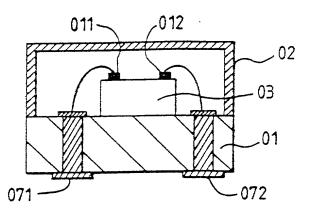


FIG.1

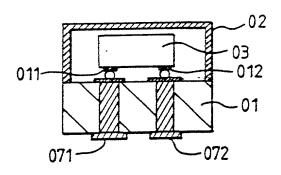


FIG.2

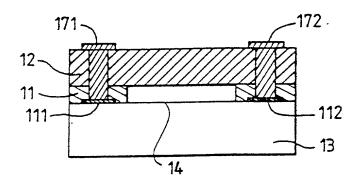
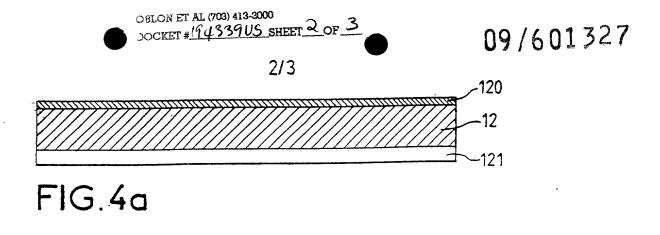
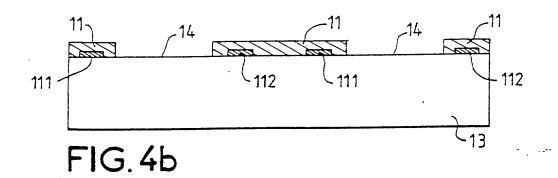
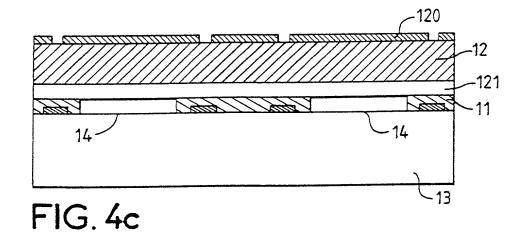


FIG.3







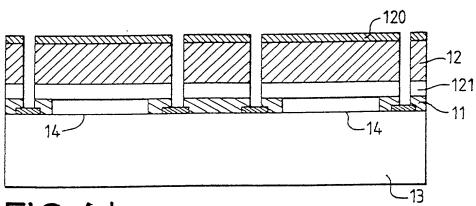
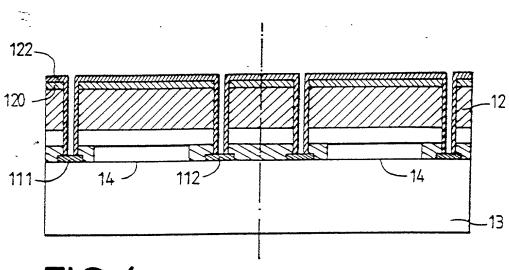
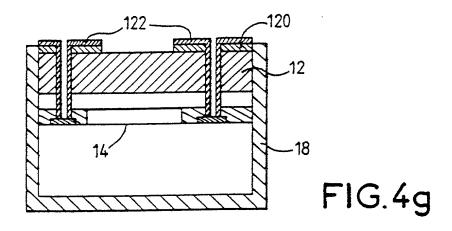


FIG.4d



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FIG.4e



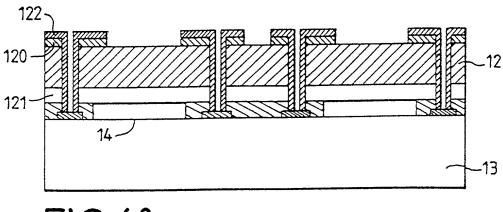


FIG.4f

# Declaration and Power of Attorney for Patent Application Déclaration et Pouvoirs pour Demande de Brevet

# French Language Declaration

En tant l'inventeur nommé ci-après, je déclare par le présent acte que:	As a below named inventor, I hereby declare that:
Mon domicile, mon adresse postale et ma nationalité sont ceux figurant ci-dessous à côté de mon nom.	My residence, post office address and citizenship are as stated next to my name.
Je crois être le premier inventeur original et unique (si un seul nom est mentionné ci-dessous), ou l'un des premiers co-inventeurs originaux (si plusieurs noms sont mentionnés ci-dessous) de l'objet revendiqué, pour lequel une demande de brevet a été déposée concernant l'invention intitulée	I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
	ENCAPSULATED SURFACE ACOUSTIC WAVE
	COMPONENT AND METHOD OF COLLECTIVE
	FABRICATION
et dont la description est fournie ci-joint à moins	the specification of which:
□ ci-joint	□ is attached hereto.
□ a été déposée le	x was filed on <u>7 December 1999</u>
sous le numéro de demande des Etats-Unis ou le numéro de demande international PCT	as United States Application Number or PCT International Application Number
et modifiée le	PCT/FR99/03036 and was amended on
(le cas échéant).	(if applicable).
Je déclare par le présent acte avoir passé en revue et compris le contenu de la description ci-dessus, revendications comprises, telles que modifiées par toute modification dont il aura été fait référence ci-dessus.	I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.
Je reconnais devoir divulguer toute information pertinente à la brevetabilité, comme défini dans le Titre 37, § 1.56 du Code fédéral des réglementations.	I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

# French Language Declaration

Je revendique par le présent acte avoir la priorité étrangère, en vertu du Titre 35, § 119(a)-(d) ou § 365(b) du Code des Etats-Unis, sur toute demande étrangère de brevet ou certificat d'inventeur ou, en vertu du Titre 35, § 365(a) du même Code, sur toute demande internationale PCT désignant au moins un pays autre que les Etats-Unis et figurant ci-dessous et, en cochant la case, j'ai aussi indiqué ci-dessous toute demande étrangère de brevet, tout certificat d'inventeur ou toute demande internationale PCT ayant une date de dépôt précédant celle de la demande à propos de laquelle une priorité est revendiquée

ou son équivalent est passible d'une amende ou d'une

incarcération, ou des deux, en vertu de la Section 1001 du Titre 18 du Code des Etats-Unis, et que de telles déclarations

volontairement fausses risquent de compromettre la validité de la demande de brevet ou du brevet délivré à partir de celle-ci

I hereby claim foreign priority under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below, and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed

United States Code and that such willful false statements may

jeopardize the validity of the application or any patent issued

Prior Foreign Applica Demande(s) de breve	tion(s) et anterieure(s) dans u	n autre pays		<u>Priority i</u> <u>Droit de</u> <u>reveni</u>	priorité
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	(Carretor)		(Day/Month/Year Filed)	☐ Yes	□ No
(Number) (Numéro)	(Country) (Pays)		(Jour/Mois/Anné de dépôt)	Oui	Non
35, § 119(e) du Co	de des Etats-Unis,	néfice, en vertu du Titre de toute demande de et figurant ci-dessous.	I hereby claim the benefit under T § 119(e) of any United States probelow	ıtle 35, United Stat visional applicatior	es Code n(s) listed
(Application (Nº de dem		(Filing Date) (Date de dépôt)	(Application No.) (Nº de demande)	(Filing D (Date de l	
35, § 120 du Code effectuée aux Etats même Code, de tou Etats-Unis et figurar chacune des reven pas divulgué dan internationale PCT, graphe du Titre 35, devoir divulguer toi comme défini dans réglementations, do la demande antéri	des Etats-Unis, de toi  -Unis, ou en vertu di  te demande internativa  ti ci-dessous et, dans  dications de cette de  s la demande anté  en vertu des disposi  § 112 du Code des la  ute information pertir  s le Titre 37, § 1 56  int l'ai pu disposer en	néfice, en vertu du Titre ute demande de brevet u Titre 35, § 365(c) du onale PCT désignant les la mesure où l'objet de mande de brevet n'est rieure américaine ou titions du premier para-Etats-Unis, je reconnais nente à la brevetabilité, du Code fédéral des tre la date de dépôt de dépôt de la demande cente demande	I hereby claim the benefit under T § 120 of any United States application ternational application designation below and, insofar as the subject may this application is not disclosed in the International application in the material paragraph of Title 35, United States the duty to disclose information which as defined in Title 37, Code of Fedebecame available between the filing and the national or PCT Internapplication.	on(s), or § 365(c) ong the United Stathalter of each of the prior United Stathalter provided by Code, § 112, I acklich is material to pagral Regulations, § 1 g date of the prior a	f any PC1 tes, listed claims o es or PC2 y the firs nowledge atentability pplication
PCT/FR99/03	036	7 DECEMBER 1999			
(Applicatio (Nº de den		(Filing Date) (Date de dépôt)	(Status) (patented, pending, abando (Statut) (breveté, en cours d'exame	oned) n, abandonné)	
(Applicatio (Nº de den		(Filing Date) (Date de dépôt)	(Status) (patented, pending, abando (Statut) (breveté, en cours d'exame	oned) n, abandonné)	
est, à ma connais formulée à partir de tenue pour véridiquété formulées en sa	sance, véridique et de renseignements d e, et de plus, que tou chant que toute fauss	e déclaration ci-incluse que toute déclaration ou de suppositions est tes ces déclarations ont se déclaration volontaire ne amende ou d' une	I hereby declare that all stateme knowledge are true and that all sta and belief are believed to be to statements were made with the statements and the like so made imprisonment, or both, under Section 1.	tements made on i rue; and further t knowledge that w e are punishable	nformatio hat thes rillful fals by fine c

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# French Language Declaration

POUVOIRS: En tant que l'inventeur cité, je désigne par la présente l'(les) avocat(s) et/ou agent(s) suivant(s) pour qu'ils poursuive(nt) la procédure de cette demande de brevet et traite(nt) toute affaire s'y rapportant avec l'Office des brevets et des marquees: (mentionner le nom et le numéro d'enregistrement).

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: (list name and registration number)

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(Fournier les mêmes renseignements et la signature de tout co-inventeur supplémentaire.)

(Supply similar information and signature for third and subsequent joint inventors.)